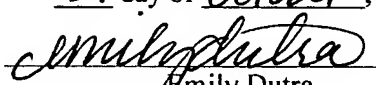




Patent Docket PI 624R1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of  Iqbal Grewal  Serial No.: 10/099,818  Filed: March 14, 2002  For: Combination Therapy	Group Art Unit: not yet assigned  Examiner: not yet assigned  <div style="text-align: center;"><small>CERTIFICATE OF MAILING</small> <small>I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Assistant Commissioner of Patents, Washington, D.C. 20231 on</small>  <u>29<sup>th</sup></u> day of <u>October</u>, 2002   Emily Dutra</div>
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INFORMATION DISCLOSURE STATEMENT

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Assistant Commissioner of Patents  
Washington, D.C. 20231

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Sir:

Applicants submit herewith patents, publications or other information (attached hereto and listed on the attached revised Form PTO-1449) of which they are aware, which they believe may be material to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 CFR §1.56.

This Information Disclosure Statement is filed in accordance with the provisions of:

☒ 37 CFR §1.97(b)

- within three months of the filing date of the application other than a continued prosecution application under 37 CFR §1.53(d); or
- within three months of the date of entry of the national stage of a PCT application as set forth in 37 CFR §1.491, or
- before the mailing of the first Office action on the merits; or
- before the mailing of the first Office action after the filing of a request for a continued examination under 37 CFR §1.114.

☐ 37 CFR §1.97(c)

- by the applicant after the period specified in 37 CFR §1.97(b), but prior to the mailing date of any of a final action under 37 CFR §1.113, or a notice of allowance under 37 CFR §1.311, or an action that otherwise closes prosecution in the application, and is accompanied by either the fee set forth in 37 CFR §1.17(p) or a statement as specified in 37 CFR §1.97(e), as checked below.

☐ 37 CFR §1.97(d)

- after the period specified in CFR §1.97(c), and is accompanied by the fee set forth in 37 CFR §1.17(p) and a statement as specified in 37 CFR §1.97(e), as checked below.

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[If either of boxes 37 CFR §1.97(c) or 37 CFR §1.97(d) is checked above, the following statement under 37 CFR §1.97(e) may need to be completed.]

- ☐ **37 CFR §1.97(e)** Each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this information disclosure statement.
- ☐ **37 CFR §1.704(d)** Each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application and the communication was not received by any individual designated in §1.56(c) more than thirty days prior to the filing of this information disclosure statement. Therefore, in accordance with the provisions of 37 CFR §1.704(d), the filing of this information disclosure statement will not be considered a failure to engage in reasonable efforts to conclude prosecution under 37 CFR §1.704.
- ☐ The U.S. Patent and Trademark Office is hereby authorized to charge Deposit Account No. 07-0630 in the amount of \$180.00 to cover the cost of this Information Disclosure Statement under 37 CFR §1.17(p). Any deficiency or overpayment should be charged or credited to this deposit account.

A list of the patent(s) or publication(s) is set forth on the attached revised Form PTO-1449 (Modified).

**A copy of the items on PTO-1449 is supplied herewith.**

Those patent(s) or publication(s) which are marked with an asterisk (\*) in the attached PTO-1449 form are not supplied because they were previously cited by or submitted to the Office in a prior application Serial No. 60/280,805, filed April 2, 2001 and relied upon in this application for an earlier filing date under 35 USC §120.

☐ BLAST results enclosed:

The undersigned also wishes to bring to the attention of the Examiner BLAST results of computerized alignments of the against sequences contained in the nucleotide and protein databases. The BLAST results are provided in paper form and are identified as reference "BLAST Results A-1- A-())" (nucleotide) and "BLAST Results B-1 - B-())" (protein) on the PTO Form 1449. Applicant requests that these references also be considered and that the Form 1449 be initialed to indicate the Examiner's consideration of the references.

A concise explanation of relevance of the items listed on PTO-1449 is:

☒ not given

☐ given for each listed item

☐ given for only non-English language listed item(s) [Required]

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- ☐ in the form of an English language copy of a Search Report from a foreign patent office, issued in a counterpart application, which refers to the relevant portions of the references.

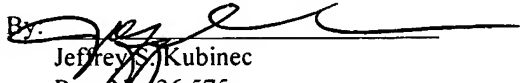
In accordance with 37 CFR §1.97(g), the filing of this information disclosure statement shall not be construed as a representation that a search has been made.

In accordance with 37 CFR §1.97(h), the filing of this information disclosure statement shall not be construed to be an admission that the information cited in the statement is, or is considered to be, material to patentability as defined in 37 CFR § 1.56(b).

In the event that the Office determines a fee to be due where none is specifically authorized in this paper, the U.S. Patent and Trademark Office is hereby authorized to charge Deposit Account No. 07-0630 in the amount of \$180.00 to cover the cost of this Information Disclosure Statement under 37 CFR §1.17(p).

Respectfully submitted,  
GENENTECH, INC.

Date: 10/28, 2002

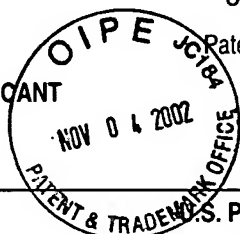
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PATENT TRADEMARK OFFICE

FORM PTO-1449	U.S. Dept. of Commerce Patent and Trademark Office	Atty Docket No. P1824R1	Serial No. 10/099,818
<b>LIST OF DISCLOSURES CITED BY APPLICANT</b> (Use several sheets if necessary)		Applicant Iqbal Grewal	
		Filing Date 14 Mar 2002	Group



U.S. PATENT DOCUMENTS							
Examiner Initials		Document Number	Date	Name	Class	Subclass	Filing Date
	1	2002/0058029	16.05.02	Hanna			
	2	2002/0106371	08.08.02	Boer et al.			
	3	2002/0142358	03.10.02	Mikayama et al.			
	4	5,182,368	26.01.93	Ledbetter et al.			
	5	5,247,069	21.09.93	Ledbetter et al.			
	6	5,674,492	07.10.97	Armitage et al.			
	7	5,677,165	14.10.97	de Boer et al.			
	8	5,736,137	07.04.98	Anderson et al.			
	9	5,786,456	28.07.98	Ledbetter, J. A. et al.			
	10	5,849,898	15.12.98	Seed et al.			
	11	5,869,050	09.02.99	de Boer et al.			
	12	5,874,082	23.02.99	de Boer			
	13	5,961,974	05.10.99	Armitage et al.			
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	15	6,056,959	02.05.00	de Boer et al.			
	16	6,413,514	02.07.02	Aruffo et al.			

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FOREIGN PATENT DOCUMENTS							
Examiner Initials		Document Number	Date	Country	Class	Subclass	Translation Yes No
	17	806,963	19.11.97	EP			
	18	WO 00/75348	14.12.00	PCT			
	19	WO 01/37870	31.05.01	PCT			
	20	WO 88/06891	22.09.88	PCT			
	21	WO 95/17202	29.06.95	PCT			
	22	WO 96/18413	20.06.96	PCT			
	23	WO 97/31025	28.08.97	PCT			
	24	WO 97/34633	25.09.97	PCT			

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26	Ashwell et al., "T-Cell Tumor Elimination as a Result of T-Cell Receptor-Mediated Activation." <u>Science</u> . 237:61-64 (Jul 1987)
27	Beckwith et al., "Phorbol Ester-Induced, Cell-Cycle-Specific, Growth Inhibition of Human B-Lymphoma Cell Lines." <u>J. Natl. Cancer Institute</u> 82(6):501-509 (Mar 1990)
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Examiner

Date Considered

\*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

FORM PTO-1449

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Atty Docket No.

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Serial No.

107/099,818

## LIST OF DISCLOSURES CITED BY APPLICANT

(Use several sheets if necessary)

Applicant

Iqbal Grewal

Filing Date

14 Mar 2002

Group

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| 31 | Einfeld et al., "Molecular Cloning of the Human B Cell CD20 Receptor Predicts a Hydrophobic Protein with Multiple Transmembrane Domains." <u>EMBO Journal</u> 7(3):711-717 (1988)                                                                                                                            |
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| 34 | Funakoshi et al., "Inhibition of Human B-Cell Lymphoma Growth by CD40 Stimulation." <u>Blood</u> . 83(10):2787-2794 (May 1994)                                                                                                                                                                               |
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| 39 | Page and DeFranco., "Role of Phosphoinositide-Derived Second Messengers in Mediating Anti-IgM-Induced Growth Arrest of WEHI-231 B Lymphoma Cells." <u>J. Immunol.</u> 140(11):3717-3726 (Jun 1988)                                                                                                           |
| 40 | Pellat-Deceunynck et al., "Expression of CD28 and CD40 in Human Myeloma Cells: A Comparative Study with Normal Plasma Cells." <u>Blood</u> . 84(8):2597-2603 (Oct 1994)                                                                                                                                      |
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Examiner

Date Considered

\*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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